

FORM PTO-1449 (Rev. 2-32)	U.S. Department of Commerce Patent and Trademark Office	Atty. Docket No.	Serial No.
SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT  (Use several sheets if necessary)		01-494	09/897,232
	Applicant: David James Stevenson et al.		
	Filing Date: July 2, 2001	Group: 2176	

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**APR 24 2002**

Technology Center 2100

## U.S. PATENT DOCUMENTS

Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
DD	1.	5,696,486	12-09-97	Poliquin et al.	340	506	11-16-95
DD	2.	5,828,830	10-27-98	Rangaraian et al.	395	185.01	10-30-96
DD	3.	5,471,399	11-28-95	Tanaka et al.	364	491	08-17-92
DD	4.	5,615,323	03-25-97	Engel et al.	395	140	03-12-96
DD	5.	5,751,964	05-12-98	Ordanic et al.	395	200.54	09-12-95
DD	6.	5,819,028	10-06-98	Manghirmalani et al.	395	185.1	04-16-97
DD	7.	6,040,834	03-21-00	Jain et al.	345	356	12-31-96

## FOREIGN DOCUMENTS

Examiner Initial		Document Number	Date	Country	Class	Subclass	Translation
	8.	EP 1065894A1	01-03-01	EP	H04Q	3/00	
DD	9.	GB 2271918A	04-27-94	UK	H04L	12/26	
DD	10.	GB 2286317A	08-09-95	UK	H04L	01/24	
DD	11.	GB 2362062A	11-07-01	UK	H04Q	03/00	
DD	12.	GB 2350035A	11-15-00	UK	H04L	12/26	
DD	13.	EP 0515296A1	11-25-92	EP	H04L	12/26	
DD	14.	EP 0849910A2	06-24-98	EP	H04L	12/26	
DD	15.	WO 97/31451	08-28-97	WIPO	H04L	12/24	
DD	16.	GB 2362061A	11-07-01	UK	H04Q	3/00	
DD	17.	WO 00/47003	08-10-00	PCT	H04Q	3/00	

FORM PTO-1449  
(Rev. 2-32)

APR 22 2002

U.S. Department of Commerce  
Patent and Trademark Office

Atty. Docket No.

01-494

Serial No.

09/897,232

SECOND SUPPLEMENTAL INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

(Use several sheets if necessary)

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APR 24 2002

Technology Center 2100

Applicant:

David James Stevenson et al.

Filing Date:

July 2, 2001

Group:

2176

## FOREIGN DOCUMENTS

Examiner Initial		Document Number	Date	Country	Class	Subclass	Translation
DD	18.	WO 98/19470	05-07-98	PCT	H04Q	3/00	
DD	19.	GB 2333672A	07-28-99	UK	H04L	12/26	
DD	20.	WO 96/04755	02-15-96	PCT	H04Q	03/00	

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc).

DD	21.	Lenoir et al., "Real-Time Transmission Network Management and Operation Support System", Commutation & Transmission, Vol. 12, No. 3, 1990, pp. 87-98.
DD	22.	S. Waldbusser, "Remote Network Monitoring Management Information Base", RFC 1271, November 1991, pp. 1-81.
DD	23.	S. Waldbusser, "Remote Network Monitoring Management Information Base", RFC 2021, January 1997, pp. 1-114.
EXAMINER		DATE CONSIDERED
<i>[Signature]</i>		9/5/04

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

Form PTO-1449 (modified)

Atty. Docket No.  
01-494Serial No.  
09/897,232

List of Patents and Publications for Applicant's

Applicant

David James Stevenson et al.

SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

Filing Date:  
July 02, 2001Group:  
2176U.S. Patent Documents  
See Page 1Foreign Patent Documents  
See Page 1Other Art  
See Page 1

## U.S. Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Name	Class	Sub Class	Filing Date of App.
DD	A1	5,923,247	07/13/1999	Dowden et al.	340	506	12/22/1995
	A2						
	A3						
	A4						
	A5						

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FEB 04 2002  
Group 2100

## Foreign Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Country	Class	Sub Class	Translation Yes/No
	B1	WO94/19888	09/01/1994	PCT	H04L	12/24	
	B2	WO00/72514	11/30/2000	PCT	H04L	12/24	
	B3	WO00/13373	03/09/2000	PCT	H04L	12/26	
	B4						
	B5						

## Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

Exam. Init.	Ref. Des.	Citation
	C1	
	C2	
	C3	
	C4	
	C5	
	C6	

EXAMINER:

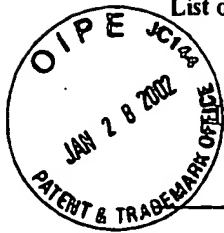
*Stevenson*


DATE CONSIDERED:

9/5/04

EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)



FORM PTO-1449 (Rev. 2-32)	U.S. Department of Commerce Patent and Trademark Office	Atty. Docket No. 01-494	Serial No. 09/897,232
 <p>THIRD SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)</p>		Applicant: David James Stevenson et al.	
		Filing Date: July 2, 2001	Group: 2176

## U.S. PATENT DOCUMENTS

Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
DD	1.	6,167,032	12-26-00	Allison et al.	370	252	11-07-97
DD	2.	6,438,184 B1	08-20-02	Nayler	375	345	01-12-99
DD	3.	6,147,974	11-14-00	Matsumoto et al.	370	252	02-27-98
DD	4.	5,732,094	03-24-98	Petersen et al.	371	51.1	09-16-96
DD	5.	5,434,872	07-18-95	Petersen et al.	371	57.1	07-28-92

## FOREIGN DOCUMENTS

Examiner Initial		Document Number	Date	Country	Class	Subclass	Translation

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc).

EXAMINER <i>[Signature]</i>	DATE CONSIDERED 9/5/04
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MAR 27 2003  
Technology Center 2100

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

Form PTO-1449 (modified)

Atty. Docket No.  
01-494Serial No.  
09/897,232

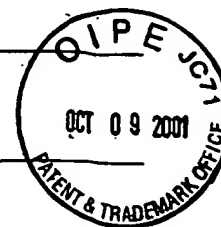
List of Patents and Publications for Applicant's

Applicant

INFORMATION DISCLOSURE STATEMENT

David James Stevenson et al.

(Use several sheets if necessary)

Filing Date:  
July 02, 2001Group:  
2176

U.S. Patent Documents

Foreign Patent Documents

Other Art

See Page 1

See Page 2

See Page 2

## U.S. Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Name	Class	Sub Class	Filing Date of App
	A1						
	A2						
	A3						
	A4						
	A5						
	A6						
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	A18						
	A19						
	A20						

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OCT 11 2001

Technology Center 2100

EXAMINER:

*[Signature]*

DATE CONSIDERED:

9/5/04

EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)

Form PTO-1449 (modified)		Atty. Docket No. 01-494	Serial No. 09/897,232
List of Patents and Publications for Applicant's  INFORMATION DISCLOSURE STATEMENT  (Use several sheets if necessary)		Applicant  David James Stevenson et al.	
		Filing Date: July 02, 2001	Group: 2176
U.S. Patent Documents <i>See Page 1</i>	Foreign Patent Documents <i>See Page 2</i>	Other Art <i>See Page 2</i>	



### Foreign Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Country	Class	Sub Class	Translation Yes/No
	B1						
	B2						
	B3						
	B4						
	B5						

### Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

Exam. Init.	Ref. Des.	Citation
DD	C1	Decker et al., "Definitions Of Managed Objects For Bridges", RFC: 1493, July 1993, pages 1-34.
DD	C2	McMaster et al., "Definitions Of Managed Objects For IEEE 802.3 Repeater Devices", RFC: 1516, September 1993, pages 1-40.
DD	C3	S. Waldbusser, "Remote Network Monitoring Management Information Base", RFC:1757, February 1995, pages 1-91.
DD	C4	McCloghrie et al., "Management Information Base For Network Management Of TCP/IP-Based Internets: MIB-II", RFC:1213, March 1991, pages 1-70.
DD	C5	IEEE Standard For Information Technology, "Part 2: Logical Link Control", 802.2, 1998, pages i-239.
DD	C6	IEEE Standard For Information Technology, "Part 3: Carrier Sense Multiple Access With Collision Detection (CSMA/CD) Access Method And Physical Layer Specifications", 802.3, 2000, pages i-1515.
	C7	
	C8	
	C9	
	C10	
	C11	
	C12	

EXAMINER:

DATE CONSIDERED:

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INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 01-494)

In the Application of:

David James Stevenson et al.

Before the Examiner: TBA

Serial No. 09/897,232

Group Art Unit: 2176

Filed: July 2, 2001

For: Network Management Apparatus and Method  
For Determining Network Events  
Reboot

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APR 24 2002

Technology Center 2100

TRANSMITTAL LETTER

Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

In regard to the above identified application,

1. We are transmitting herewith the attached:


- a) Second Supplemental Information Disclosure Statement Letter;
- b) Second Supplemental Information Disclosure Statement Form PTO-1449;
- c) 23 Cited References; and
- d) Postcard.

2. With respect to fees:

- a) No fee is required.
- b) Please charge any underpayment or credit any overpayment our Deposit Account, No. 13-2490.

3. CERTIFICATE OF MAILING UNDER 37 CFR § 1.8: The undersigned hereby certifies that this Transmittal Letter and the paper, as described in paragraph 1, are being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Asst. Commissioner for Patents, Washington, D.C. 20231 on April 16, 2002.

By:

  
Timothy R. Baumann  
Reg. No. 40,502



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 01-494)

In the Application of:

David James Stevenson et al.

Before the Examiner: TBA

Serial No. 09/897,232

Group Art Unit: 2176

Filed: July 2, 2001

For: Network Management Apparatus and Method  
For Determining Network Events

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APR 24 2002  
Technology Center 2100

SECOND SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Pursuant to the duty of disclosure provided by 35 C.F.R. § 1.56 and §§ 1.97-98, the applicants wish to make the following references of record in the above-identified application. Copies of the references are enclosed. Copies are also listed in the PTO-1449 form enclosed herewith. It is requested that the documents be given careful consideration and that they be cited of record in the prosecution history of the present application so that they will appear on the face of the patent issuing from the present application.

Portions of the references may be material to the examination of the pending claims, however no such admission is intended. 37 C.F.R. 1.97 (h). The references have not been reviewed in sufficient detail to make any other representation and, in particular, no representation is intended as to the relative importance of any portion of the references. This Statement is not a representation that the cited references have effective dates early enough to be "prior art" within the meaning of 35 U.S.C. sections 102 or 103, nor is this submission to be construed as a representation that a search has been made.



## **CITED REFERENCES**

### **U.S. Patent Documents**

<b>Document Number</b>	<b>Date</b>	<b>Name</b>
5,696,486	12-09-97	Poliquin et al.
5,828,830	10-27-98	Rangaraian et al.
5,471,399	11-28-95	Tanaka et al.
5,615,323	03-25-97	Engel et al.
5,751,964	05-12-98	Ordanic et al.
5,819,028	10-06-98	Manghirmalani et al.
6,040,834	03-21-00	Jain et al.

### **Foreign Documents**

<b>Document Number</b>	<b>Date</b>	<b>Country</b>
EP 1065894A1	01-03-01	EP
GB 2271918A	04-27-94	UK
GB 2286317A	08-09-95	UK
GB 2362062A	11-07-01	UK
GB 2350035A	11-15-00	UK
EP 0515296A1	11-25-92	EP
EP 0849910A2	06-24-98	EP
WO 97/31451	08-28-97	WIPO
GB 2362061A	11-07-01	UK
WO 00/47003	08-10-00	PCT
WO 98/19470	05-07-98	PCT
GB 2333672A	07-28-99	UK
WO 96/04755	02-15-96	PCT

**Other Documents**

1. Lenoir et al., "Real-Time Transmission Network Management and Operation Support System", Commutation & Transmission, Vol. 12, No. 3, 1990, pp. 87-98.
2. S. Waldbusser, "Remote Network Monitoring Management Information Base", RFC 1271, November 1991, pp. 1-81.
3. S. Waldbusser, "Remote Network Monitoring Management Information Base", RFC 2021, January 1997, pp. 1-114.

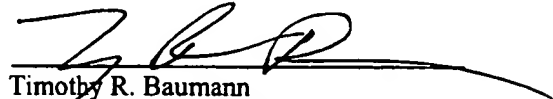
Respectfully submitted,

McDonnell Boehnen Hulbert & Berghoff

Date:

4/16/02

By:

  
Timothy R. Baumann  
Registration No. 40,502



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 01-494)

In the Application of:

David James Stevenson et al.

Before the Examiner: TBA

Serial No. 09/897,232

Group Art Unit: 2176

Filed: July 2, 2001

For: Network Management Apparatus and Method  
For Determining Network Events

TRANSMITTAL LETTER

Commissioner for Patents  
Washington, D.C. 20231

RECEIVED  
MAR 27 2003  
Technology Center 2100

Dear Sir:

In regard to the above identified application,

1. We are transmitting herewith the attached:

- a) Third Supplemental Information Disclosure Statement Letter;
- b) Third Supplemental Information Disclosure Statement Form PTO-1449;
- c) 5 Cited References; and
- d) Postcard.

2. With respect to fees:

- a) No fee is required.
- b) Please charge any underpayment or credit any overpayment our Deposit Account, No. 13-2490.

3. CERTIFICATE OF MAILING UNDER 37 CFR § 1.8: The undersigned hereby certifies that this Transmittal Letter and the paper, as described in paragraph 1, are being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, Washington, D.C. 20231 on March 21, 2003.

By: 

Thomas E. Wettermann  
Reg. No. 41,523



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 01-494)

In the Application of:	)	
	)	
David James Stevenson et al.	)	Before the Examiner: TBA
	)	
Serial No. 09/897,232	)	
	)	
Filed: July 2, 2001	)	Group Art Unit: 2176
	)	
For: Network Management Apparatus and Method	)	
For Determining Network Events	)	

THIRD SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
Washington, D.C. 20231

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MAR 27 2003  
Technology Center 2100

Dear Sir:

Pursuant to the duty of disclosure provided by 35 C.F.R. § 1.56 and §§ 1.97-98, the applicants wish to make the following references of record in the above-identified application. Copies of the references are enclosed. Copies are also listed in the PTO-1449 form enclosed herewith. It is requested that the documents be given careful consideration and that they be cited of record in the prosecution history of the present application so that they will appear on the face of the patent issuing from the present application.

Portions of the references may be material to the examination of the pending claims, however no such admission is intended. 37 C.F.R. 1.97 (h). The references have not been reviewed in sufficient detail to make any other representation and, in particular, no representation is intended as to the relative importance of any portion of the references. This Statement is not a representation that the cited references have effective dates early enough to be "prior art" within the meaning of 35 U.S.C. sections 102 or 103, nor is this submission to be construed as a representation that a search has been made.

# CITED REFERENCES

## U.S. Patent Documents

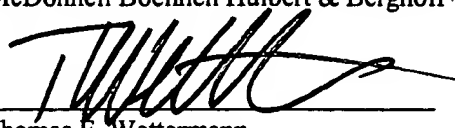
Document Number	Date	Name
6,167,032	December 26, 2000	Allison et al.
6,438,184	August 20, 2002	Nayler
6,147,974	November 14, 2000	Matsumoto et al.
5,732,094	March 24, 1998	Petersen et al.
5,434,872	July 18, 1995	Petersen et al.

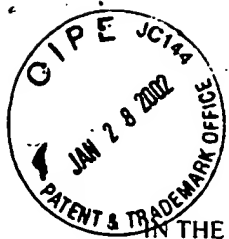
Respectfully submitted,

McDonnell Boehnen Hulbert & Berghoff

Date: 3/21/03

By:

  
Thomas E. Wettermann  
Registration No. 41,523



UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 01-494)

PATENT

IN THE APPLICATION OF:

David James Stevenson et al.

Serial No. 09/897,232

Filed: July 02, 2001

Title Network Management Apparatus  
And Method For Determining  
Network Events

Examiner: To be Assigned  
Group Art Unit: 2176  
Confirmation No.: 9022

BOX DD  
Commissioner for Patents  
Washington, D.C. 20231

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FEB 04 2002  
Group 2100

Sir:

TRANSMITTAL LETTER

In regard to the above identified application:

1. We are transmitting herewith the attached:

- a. Supplemental Information Disclosure Statement;
- b. Supplemental Form PTO-1449;
- c. Copy of IDS Citations 09/897,232 (4 references);
- d. Return Receipt Postcard.

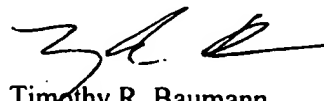
2. With respect to additional fees:

☒ No additional fee is required.

3. Please charge any additional fees or credit overpayment to Deposit Account No.13-2490. A duplicate copy of this sheet is enclosed.

4. CERTIFICATE OF MAILING UNDER 37 CFR § 1.8: The undersigned hereby certifies that this Transmittal Letter and the paper, as described in paragraph 1 hereinabove, are being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Box DD, Washington, D.C. 20231 on this 3<sup>rd</sup> day of January, 2002.

By :

  
Timothy R. Baumann  
Reg. No. 40,502

McDONNELL BOEHNEN,  
HULBERT & BERGHOFF  
300 SOUTH WACKER DRIVE



**UNITED STATES PATENT AND TRADEMARK OFFICE**  
(Case No. 01-494)

**PATENT**

**RECEIVED**  
**FEB 04 2002**  
**Group 2100**

IN THE APPLICATION OF:

David James Stevenson et al.

Serial No. 09/897,232

Filed: July 02, 2001

Title Network Management Apparatus  
And Method For Determining  
Network Events

Examiner:

Group Art Unit: 2176

Confirmation No.: 9022

To be Assigned

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

BOX DD  
Commissioner for Patents  
Washington, D.C. 20231-9999

Dear Sir:

Pursuant to the duty of disclosure provided by 35 C.F.R. § 1.56 and §§ 1.97-98, the applicants wish to make the following references of record in the above-identified application. Copies of the references are enclosed. Copies are also listed in the PTO-1449 form enclosed herewith. It is requested that the documents be given careful consideration and that they be cited of record in the prosecution history of the present application so that they will appear on the face of the patent issuing from the present application.

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**CITED REFERENCES**

**U.S. Patent Documents**

Document Number	Date	Name	Class	Sub Class	Filing Date of App.
5,923,247	07/13/1999	Dowden et al.	340	506	12/22/1995


**Foreign Patent Documents**

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WO94/19888	09/01/1994	PCT	H04L	12/24
WO00/72514	11/30/2000	PCT	H04L	12/24
WO00/13373	03/09/2000	PCT	H04L	12/26

Respectfully submitted,

**McDonnell Boehnen Hulbert & Berghoff**

Date: 01/03/02

By:   
**Timothy R. Baumann**  
Registration No. 40,502





UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 01-494)

2176#4  
PATENT 4. R. 2

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OCT 11 2001

Technology Center 2100

IN THE APPLICATION OF:

David James Stevenson et al.

Serial No. 09/897,232

Filed: July 02, 2001

Title Network Management Apparatus  
And Method For Determining  
Network Events

Examiner:

Group Art Unit:

Confirmation No.:

To be Assigned

2176

9022

BOX DD  
Commissioner for Patents  
Washington, D.C. 20231

Sir:

TRANSMITTAL LETTER

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- Information Disclosure Statement;
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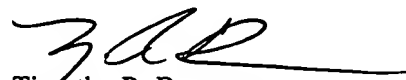
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By :

  
Timothy R. Baumann  
Reg. No. 40,502

McDONNELL BOEHNNEN,  
HULBERT & BERGHOFF  
300 SOUTH WACKER DRIVE



UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 01-494)

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OCT 11 2001

Technology Center 2100

IN THE APPLICATION OF:

David James Stevenson et al.

Serial No. 09/897,232

Filed: July 02, 2001

Title Network Management Apparatus  
And Method For Determining  
Network Events

Examiner:

To be Assigned

Group Art Unit:

2176

Confirmation No.:

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INFORMATION DISCLOSURE STATEMENT

BOX DD

Commissioner for Patents

Washington, D.C. 20231-9999

Dear Sir:

Pursuant to the duty of disclosure provided by 35 C.F.R. § 1.56 and §§ 1.97-98, the applicants wish to make the following references of record in the above-identified application. Copies of the references are enclosed. Copies are also listed in the PTO-1449 form enclosed herewith. It is requested that the documents be given careful consideration and that they be cited of record in the prosecution history of the present application so that they will appear on the face of the patent issuing from the present application.

Portions of the references may be material to the examination of the pending claims, however no such admission is intended. 37 C.F.R. 1.97 (h). The references have not been reviewed in sufficient detail to make any other representation and, in particular, no representation is intended as to the relative importance of any portion of the

references. This Statement is not a representation that the cited references have effective dates early enough to be "prior art" within the meaning of 35 U.S.C. sections 102 or 103, nor is this submission to be construed as a representation that a search has been made.

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**CITED REFERENCES**

**Other Documents**

Citation
Decker et al., "Definitions Of Managed Objects For Bridges", RFC: 1493, July 1993, pages 1-34.
McMaster et al., "Definitions Of Managed Objects For IEEE 802.3 Repeater Devices", RFC: 1516, September 1993, pages 1-40.
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IEEE Standard For Information Technology, "Part 2: Logical Link Control", 802.2, 1998, pages i-239.
IEEE Standard For Information Technology, "Part 3: Carrier Sense Multiple Access With Collision Detection (CSMA/CD) Access Method And Physical Layer Specifications", 802.3, 2000, pages i-1515.


Respectfully submitted,

**McDonnell Boehnen Hulbert & Berghoff**

Date:

10/03/01

By:

  
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